



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:
Sean Egan

Group Art Unit: 2764

Examiner: M. Kemper

Serial No.: 09/418,184

Filed: October 12, 1999

For: SYSTEM AND METHOD FOR ASSIGNING RATINGS TO MUTUAL FUNDS AND
OTHER INVESTMENT FUNDS BASED ON THE VALUE OF VARIOUS FUTURE AND
OPTION SECURITIES

AMENDMENT UNDER 37 C.F.R. §1.111

Commissioner for Patents
Washington, DC 20231

Sir:

In response to the Official Action of September 27, 2000, please insert the attached
substitute specification, and the attached two sheets of informal drawings, and amend the
attached substitute specification and claims as follows:

In the specification:

Immediately above the heading "DETAILED DESCRIPTION", please insert the following on
separate lines:

--Brief Description of the Figures.

Figures 1A and 1B are a flow diagram depicting steps in a method according to the invention.--

On page 2, please delete lines 14 and 15, and insert the following:

--Referring now to Figures 1A and 1B, the method of the invention will be described.

The process flow of the method commences for assigning a rating to a fund commences with the
identification of a sector corresponding to the fund, as indicated by block 10. An example of a
sector is U.S. large capitalization funds. The next step in the method is to identify financial and
futures corresponding to the identified sector. This is indicated by block 20. An example of
futures for a sector is S&P 500 options and futures for U.S. large capitalization funds. The next

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